



Attachment Page 3  
At t No. 8325-0007.20

COMMISSIONER OF PATENT & TRADEMARKS  
Washington, D.C. 20231

FORM PTO-1449 (Modified)  
LIST OF PATENTS AND PUBLICATIONS  
FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT  
(Use several sheets if necessary)  
Sheet 1 of 3

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JAN 28 2002  
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In the Application of CASE et al.

Serial No.: 09/941,450

Art Unit: 1631

Filed: August 28, 2001

John S. Brusca  
Examiner: ~~Sharell Cotes~~

Title: GENE IDENTIFICATION

U.S. PATENT DOCUMENTS

Exam. Init.	Ref. Desig.	Document No.	Date	Name	Class	Sub Class	Filing Date
	AA-1						

FOREIGN PATENT DOCUMENTS

Exam. Init.	Ref. Desig.	Document No.	Publication Date	Country or Patent Office	Class	Sub Class	Translation YES NO
JB	AB-1	WO 00/42219	July 20, 2000	PCT			

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

Exam. Init.	Ref. Desig.	Description
JB	AC-1	Bailey et al., "Analysis of EST-Driven Gene Annotation in Human Genomic Sequence," <i>Genome Research</i> 8:362-376 (1998)
	AD-1	Beerli et al., "Toward Controlling Gene Expression at Will: Specific Regulation of the <i>erbB-2/HER-2</i> Promoter by Using Polydactyl Zinc Finger Proteins Constructed from Modular Building Blocks," <i>Proc. Natl. Acad. Sci. U.S.A.</i> 95:14628-14633 (1998)
	AE-1	Birney et al., "PairWise and SearchWise: Finding the Optimal Alignment in a Simultaneous Comparison of a Protein Profile Against All DNA Translation Frames," <i>Nucleic Acids Research</i> 24(14):2730-2739 (1996)
V	AF-1	Burge et al., "Prediction of Complete Gene Structures in Human Genomic DNA," <i>J Mol. Biol.</i> 268:78-94 (1997)

Examiner:

JB. Brusca

Date Considered:

April 23, 2003

EXAMINER: Initial if citation considered whether or not the citation conforms with MPEP609. Draw a line through the citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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	AG-1	Choo et al., "Toward a Code for the Interactions of Zinc Fingers with DNA: Selection of Randomized Fingers Displayed on Phage," <i>Proc. Natl. Acad. Sci. U.S.A.</i> <u>91</u> :11163-11167 (1994)
	AH-1	Choo et al., "In Vivo Repression by a Site-Specific DNA-Binding Protein Designed Against an Oncogenic Sequence," <i>Nature</i> <u>372</u> :642-645 (1994)
	AI-1	Claverie, Claverie, Jean-Michel, "Computational Methods for the Identification of Genes In Vertebrate Genomic Sequences," <i>Human Molecular Genetics</i> <u>6</u> (10):1735-1744 (1997) <i>Human Mol. Genet.</i> <u>6</u> :1735 (1997)
	AJ-1	Dunham et al., Dunham et al., The DNA Sequence of Human Chromosome 22," <i>Nature</i> <u>402</u> :489-495 (1999) <i>Nature</i> <u>402</u> :489-495 (1999)
	AK-1	Florea et al., Florea et al., "A Computer Program for Aligning a cDNA Sequence With a Genomic DNA Sequence," <i>Genome Research</i> <u>8</u> :967-974 (1998) <i>Genome Res.</i> <u>8</u> :967-974 (1998)
	AL-1	Galas, David J., "Making Sense of the Sequence," <i>Science</i> <u>291</u> :1257-1260 (2001)
	AM-1	Gelfand et al., "Gene Recognition Via Spliced Sequence Alignment," <i>Proc. Natl. Acad. Sci. U.S.A.</i> <u>93</u> :9061-9066 (1996)
	AN-1	Goodman, "The Case of the Missing Gene," <i>Genome Technology</i> 52-55 (2001)
	AO-1	Guigo et al., "An Assessment of Gene Prediction Accuracy in large DNA Sequences," <i>Genome Res.</i> <u>10</u> :1631-1642 (2000)
	AP-1	Haussler et al., <i>Trends Biochem Sci.</i> <u>23</u> (suppl):12 (1998)
	AQ-1	Hou et al., "An Interleukin-4-Induced Transcription Factor: IL-4 Stat," <i>Science</i> <u>256</u> :1701-1706 (1994)

Examiner:

Date Considered: April 3, 2003

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Serial No.: 09/941,450

Art Unit: 1631

Filed: August 28, 2001

Examiner: John S. Brusca  
Sharon L. Coles

Title: GENE IDENTIFICATION

Exam. Init.	Ref. Desig.	Description
	AR-1	Kulp et al., "A Generalized Hidden Markov Model for the recognition of Human Genes, DNA," <i>ISMB</i> 4:134-142 (1996)
	AS-1	Lewis et al., "Annotating Eukaryote Genomes," <i>Curr. Opin. Struct. Biol.</i> 10:349 (2000)
	AT-1	Mott, Richard, "EST_GENOME: A Program to Align Spliced DNA Sequences to Unspliced Genomic DNA," <i>Comput. Appl. Biosci.</i> 13(4):477-478 (1997)
	AU-1	Neering et al., "Transduction of Primitive Human Hematopoietic Cells With Recombinant Adenovirus Vectors," <i>Blood</i> 88(4):1147-1155 (1996)
	AV-1	Oligino et al., "Drug Inducible Transgene Expression in Brain Using a Herpes Simplex Virus Vector," <i>Gene Therapy</i> 5:491-496 (1998)
	AW-1	Pavy et al., "Evaluation of Gene Prediction Software Using a Genomic Data Set: Application to Arabidopsis Thaliana Sequences," <i>Bioinformatics</i> 15(11):887-899 (1999)
	AX-1	Reese et al., "Genie-Gene Finding in <i>Drosophila melanogaster</i> ," <i>Genome Research</i> 10:529-538 (2000)
	AY-1	Rendahl et al., "Regulation of Gene Expression in vivo Following Transduction by Two Separate rAAV Vectors," <i>Nature Biotechnology</i> 16:757-761 (1998)
	AZ-1	Solovyev et al., "The Gene-Finder Computer Tools for Analysis of Human and Model Organisms Genome Sequences," <i>ISMB</i> 5:294-302 (1997)
	BA-1	Wang et al., "Positive and Negative Regulation of Gene Expression in Eukaryotic Cells With an Inducible Transcriptional Regulator," <i>Gene Therapy</i> 4:432-441 (1997)

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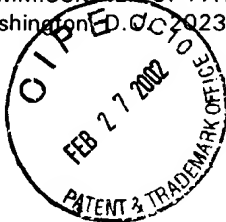
John S. Brusca

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Title: GENE IDENTIFICATION

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Art Unit: 1631

Examiner: *John S. Brusca*  
~~S. Coles~~

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## U.S. PATENT DOCUMENTS

Exam. Init.	Ref. Desig.	Document No.	Date	Name	Class	Sub Class	Filing Date
	AA-2						

## FOREIGN PATENT DOCUMENTS

Exam. Init.	Ref. Desig.	Document No.	Publication Date	Country or Patent Office	Class	Sub Class	Translation YES	NO
	AB-2							

## OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

Exam. Init.	Ref. Desig.	Description
<i>JB</i>	AC-2	Camargo et al., "The Contribution of 700,000 ORF Sequence Tags to the Definition of the Human Transcriptome," <i>PNAS</i> 98(21):12103-12108 (2001)
	AD-2	Goodman et al., <i>Nature</i> 409:892-907 (2001) <i>not considered</i>

Examiner:


*John S. Brusca*Date Considered: *4/3/03*

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Attachment Page 6

PTO/SB/08A (08-00)

<div style="text-align: right;">  </div> Substitute for form 1449A/PTO  <div style="text-align: center;"> <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> </div> <div style="text-align: center;"> <i>(use as many sheets as necessary)</i> </div>				<b>Complete if Known</b>	
				<b>Application Number</b>	09/941,450
				<b>Filing Date</b>	August 28, 2001
				<b>First Named Inventor</b>	CASE
				<b>Group Art Unit</b>	1631
				<b>Examiner Name</b>	J. Brusca
<b>Sheet</b>	1	<b>of</b>	2	<b>Attorney Docket Number</b>	8325-0007.20

## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

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<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.

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Attorney Docket Number

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Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

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C-1

Liu et al., "Design of polydactyl zinc-finger proteins for unique addressing within complex genomes," *PNAS (USA)* 94(11):5525-5530

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